



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

Inventor(s): Jeffrey W. Carr

Application No.: 10/002,483

Confirm. No.: 2209

Filed: November 1, 2002

Title: APPARATUS AND METHOD FOR  
ATMOSPHERIC PRESSURE REACTIVE  
ATOM PLASMA PROCESSING FOR  
SURFACE MODIFICATION

PATENT APPLICATION

Art Unit: 3749

Examiner: Unknown

Customer No. 23910

RECEIVED

APR 3 2002

TECHNOLOGY CENTER 3700

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8**

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, DC 20231, on April 22, 2002.

Jason D. Lohr, Reg. No. 48,163  
Signature Date: April 22, 2002

(Attorney Signature)

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.56**

Commissioner for Patents  
Washington, DC 20231

Sir:

It is requested that the information identified in this statement be considered by the Examiner and made of record in the above-identified application. This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56. If this is a continuation, divisional or continuation-in-part application, it is understood that the Examiner will consider all information which was considered by the Office in a parent application. MPEP §609. Such information therefore is not listed herein unless it is desired that the information be printed on a patent issuing from the subject application.

***Enclosed with this statement are the following:***

- ☒ Form PTO-1449. The Examiner is requested to initial the form and return it to the undersigned in accordance with M.P.E.P. §609.
- ☒ A copy of each cited document as required by 37 C.F.R. §1.98. Copies are not submitted of documents previously submitted by the applicant in a parent application from which benefit under 35 U.S.C. §120 is claimed, 37 C.F.R. §1.98(d)(1), with an information disclosure statement submitted in the parent application which complies with the Sept. 8, 2000 or subsequent revision of 37 C.F.R. §1.98(a-c). If any of the cited/submitted documents is in a foreign language, a concise explanation of relevance is provided pursuant to 37 C.F.R. §1.98(a)(3)(i). For foreign language documents cited in a search report by a foreign patent office, the requirement for a concise explanation of relevance is satisfied by the submission herewith of an English language version of

the search report. MPEP §609A(3). If a written English-language translation of a non-English language document, or portion thereof, is within the possession, custody or control of, or is readily available to any individual designated in §1.56(c), a copy of the translation accompanies this statement, 37 C.F.R. §1.98(a)(3)(ii), and satisfies the requirement for a concise explanation of relevance, MPEP §609A(3).

— **PTA Statement under 37 C.F.R. §1.704(d).** Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the information disclosure statement.

***This statement should be considered because:***

✓ **37 C.F.R. §1.97(b).** This statement qualifies under 37 C.F.R. §1.97, subsection (b) because:

- (1) It is being filed within three months of the filing date of an application other than a continued prosecution application under § 1.53(d);  
-- OR --
- (2) It is being filed within 3 months of entry of a national stage;  
-- OR --
- (3) It is being filed before the mailing date of the first Office Action on the merits,  
-- OR --
- (4) It is being filed before the mailing date of the first Office Action after the filing of a Request for Continued Examination under 37 C.F.R. §1.114.

— **37 C.F.R. §1.97(c).** Although it may not qualify under subsection (b), this statement qualifies under 37 C.F.R. §1.97, subsection (c) because:

- (1) It is being filed before the mailing date of a FINAL office action, a Notice of Allowance, or an action that otherwise closes prosecution in the subject application, whichever occurs first.

-- AND (check at least one of the following) --

- (1) It is accompanied by a STATEMENT as set forth in 37 C.F.R. §1.97(e).  
-- OR --
- (2) It is accompanied by the \$180 fee set forth in 37 C.F.R. §1.17(p).

— **37 C.F.R. §1.97(d).** Although it may not qualify under subsection (b) or (c), this statement qualifies under 37 C.F.R. §1.97, subsection (d) because:

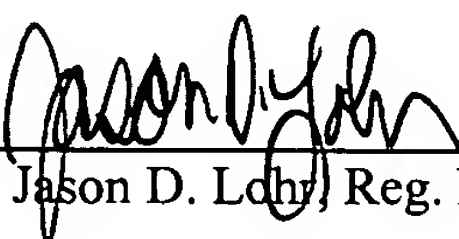
- (1) It is being filed on or before payment of the issue fee;  
-- AND --
- (2) It is accompanied by a STATEMENT as set forth in 37 C.F.R. §1.97(e);  
-- AND --
- (3) It is accompanied by the \$180 fee set forth in 37 C.F.R. §1.17(p).

✓ **Fee Authorization.** The Commissioner is hereby authorized to charge underpayment of any additional fees or credit any overpayment associated with this communication to Deposit Account No. 06-1325. A duplicate copy of this authorization is enclosed.

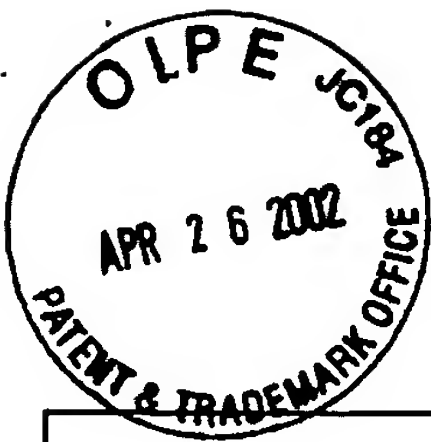
Respectfully submitted,

FLIESLER DUBB MEYER & LOVEJOY LLP

Date: 4/22/02

By:   
Jason D. Lohr, Reg. No. 48,163

FLIESLER DUBB MEYER & LOVEJOY LLP  
Four Embarcadero Center, Fourth Floor  
San Francisco, California 94111-4156  
Telephone (415) 362-3800



Form PTO-1449 (Substitute)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number <b>CARR-01000US2</b>	Serial/Patent Number 10/002,483
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use several sheets if necessary)		Applicant/Patent Owner <b>Jeffrey W. Carr</b>	
		Filing/Issue Date <b>November 1, 2001</b>	Group Art Unit <b>3749</b>

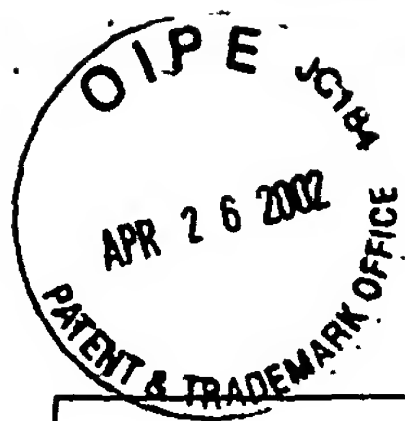
RECEIVED

APR 30 2002

TECHNOLOGY CENTER R3700

**U.S. PATENTS**

Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
	1	6,245,202 B1	Jun. 12, 2001	Edamura	204	298.06	Aug. 18, 1999
	2	6,239,553 B1	May 29, 2001	Barnes	315	111.51	Apr. 22, 1999
	3	6,239,004 B1	May 29, 2001	Aga	438	455	Aug. 18, 1998
	4	6,238,587 B1	May 29, 2001	Siniaguine	216	59	Nov. 25, 1998
	5	6,228,330 B1	May 8, 2001	Herrmann	422	186.05	Jun. 8, 1999
	6	6,218,640 B1	Apr. 17, 2001	Selitser	219	121.52	Jul. 19, 1999
	7	6,214,161 B1	Apr. 10, 2001	Becker	156	345	Aug. 6, 1998
	8	6,209,480 B1	Apr. 3, 2001	Moslehi	118	723 I	Jul. 10, 1996
	9	6,207,924 B1	Mar. 27, 2001	Trassy	219	121.52	Feb. 16, 2000
	10	6,203,661 B1	Mar. 20, 2001	Siniaguine	156	345	Dec. 7, 1999
	11	6,200,908 B1	Mar. 13, 2001	Vandamme	438	719	Aug. 4, 1999
	12	6,194,036 B1	Feb. 27, 2001	Babayan	427	563	Oct. 20, 1998
	13	6,170,428 B1	Jan. 9, 2001	Redeker	118	723 I	Jul. 15, 1996
	14	6,153,852	Nov. 28, 2000	Blutke	219	121.59	Feb. 12, 1999
	15	6,143,129	Nov. 7, 2000	Savas	156	345	Jul. 17, 1998
	16	6,139,678	Oct. 31, 2000	Siniaguine	156	345	Nov. 20, 1997
	17	6,105,534	Aug. 22, 2000	Siniaguine	118	723 EB	Nov. 25, 1998
	18	6,093,655	Jul. 25, 2000	Donohoe	438	717	Feb. 12, 1998
	19	6,085,688	Jul. 11, 2000	Lymberopoulos	118	723 I	Mar. 27, 1998
	20	6,074,947	Jun. 13, 2000	Mumola	438	689	Jul 10, 1998
	21	6,073,578	Jun. 13, 2000	Shim	118	723 I	Dec. 4, 1998
	22	6,068,784	May 30, 2000	Collins	216	68	Apr. 1, 1993



RECEIVED

Sheet 2 of 4

APR 30 2002

TECHNOLOGY CENTER R3700

U.S. PATENTS							
Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
	23	6,056,848	May 2, 2000	Daviet	156	345	Sept. 10, 1997
	24	6,040,548	Mar. 21, 2000	Siniaguine	219	121.48	Nov. 25, 1998
	25	6,030,489	Feb. 29, 2000	Hwang	156	345	Jul. 1, 1999
	26	6,028,286	Feb. 22, 2000	Wicker	219	121.53	Dec. 30, 1998
	27	6,017,221	Jan. 25, 2000	Flamm	437	225	May 30, 1997
	28	6,004,866	Dec. 21, 1999	Nakano	438	459	Feb. 28, 1997
	29	5,981,392	Nov. 9, 1999	Oishi	438	691	Mar. 26, 1997
	30	5,965,034	Oct. 12, 1999	Vinogradov	216	68	Oct. 28, 1996
	31	5,961,772	Oct. 5, 1999	Selwyn	156	345	Jan. 23, 1997
	32	5,955,383	Sept. 21, 1999	Hwang	438	729	Jan. 22, 1997
	33	5,944,902	Aug. 31, 1999	Redeker	118	723 AN	Jun. 16, 1998
	34	5,942,445	Aug. 24, 1999	Kato	438	691	Mar. 25, 1997
	35	5,897,712	Apr. 27, 1999	Hanawa	216	68	Jul. 16, 1996
	36	5,877,471	Mar. 2, 1999	Huhn	219	121.49	Jun. 11, 1997
	37	5,863,829	Jan. 26, 1999	Nakayoshi	438	459	Nov. 13, 1996
	38	5,811,022	Sept. 22, 1998	Savas	216	68	Nov. 15, 1994
	39	5,811,021	Sept. 22, 1998	Zarowin	216	67	Feb. 28, 1995
	40	5,795,493	Aug. 18, 1998	Bukhman	216	59	May 1, 1995
	41	5,767,627	Jun. 16, 1998	Siniaguine	315	111.41	Jan. 9, 1997
	42	5,688,415	Nov. 18, 1997	Bollinger	219	121.41	May 30, 1995
	43	5,676,863	Oct. 14, 1997	Jouvenel	219	121.52	Jul. 12, 1995
	44	5,650,032	Jul. 22, 1997	Keller	156	345	Jun. 6, 1995
	45	5,591,068	Jan. 7, 1997	Taylor	451	104	Mar. 13, 1995
	46	5,563,709	Oct. 8, 1996	Poultney	356	371	Sept. 13, 1994
	47	5,430,355	Jul. 4, 1995	Paranjpe	315	111.21	Jul. 30, 1993
	48	5,419,803	May 30, 1995	Mumola	216	38	Nov. 17, 1993





RECEIVED

Sheet 3 of 4

APR 30 2002

TECHNOLOGY CENTER R3700

U.S. PATENTS

Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
	49	5,405,480	Apr. 11, 1995	Benzing	156	345	Jul 11, 1994
	50	5,386,119	Jan. 31, 1995	Ledger	250	341.1	Mar. 25, 1993
	51	5,376,224	Dec. 27, 1994	Zarowin	156	643	Feb. 27, 1992
	52	5,375,064	Dec. 20, 1994	Bollinger	364	474.3	Dec. 2, 1993
	53	5,372,674	Dec. 13, 1994	Steinberg	156	643	Jan. 28, 1994
	54	5,364,496	Nov. 15, 1994	Bollinger	156	643	Aug. 20, 1993
	55	5,346,578	Sept. 13, 1994	Benzing	156	345	Nov. 4, 1992
	58	5,344,524	Sept. 6, 1994	Sharma	156	630	Jun. 30, 1993
	59	5,336,355	Aug. 9, 1994	Zarowin	156	345	Dec. 13, 1991
	60	5,298,103	Mar. 29, 1994	Steinberg	156	345	Jul. 15, 1993
	61	5,292,400	Mar. 8, 1994	Mumola	156	643	Mar. 23, 1992
	62	5,291,415	Mar. 1, 1994	Zarowin	364	474.3	Dec. 13, 1991
	63	5,290,382	Mar. 1, 1994	Zarowin	156	345	Dec. 13, 1991
	64	5,280,154	Jan. 18, 1994	Cuomo	219	121.52	Jan. 30, 1992
	65	5,254,830	Oct. 19, 1993	Zarowin	219	121.43	May 7, 1991
	66	5,238,532	Aug. 24, 1993	Zarowin	156	643	Feb. 27, 1992
	67	5,200,595	Apr. 6, 1993	Boulos	219	121.52	Apr. 12, 1991
	68	5,106,827	Apr. 21, 1992	Borden	505	1	Feb. 5, 1991
	69	4,431,901	Feb. 14, 1984	Hull	219	121 PR	Jul. 2, 1982
	70	4,431,898	Feb. 14, 1984	Reinberg	219	121 PG	Sept. 1, 1981
	71	4,306,175	Dec. 15, 1981	Schleicher	315	111.21	Feb. 29, 1980
	72	4,050,408	Sept. 27, 1977	Beucherie	118	49.1	Nov. 19, 1975

U.S. PATENT PUBLICATIONS

Examiner Initial		Patent Application Publication Number	Publication Date	Applicant



RECEIVED

Sheet 4 of 4

APR 30 2002

U.S. PATENT PUBLICATIONS			
Examiner Initial	Patent Application Publication Number	Publication Date	Applicant

PENDING U.S. PATENT APPLICATIONS				
Examiner Initial	Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes   No

FOREIGN PATENT DOCUMENTS							
Examiner Initial	Document Number	Publication Date	Country	Class	Subclass	Trans- lation Yes   No	
	DE 199 25 790 A 1	Dec. 7, 2000	Germany	H01	J37	X	

OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)	

Examiner	Date Considered
<p>*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p> <p>*1 = Copy not submitted because it was submitted in prior application SN <u>  </u> / <u>  </u>, filed <u>  </u>, 20<u>  </u>, relied on under 35 USC §120.</p> <p>*2 = Copy not submitted because it was submitted in prior application SN <u>  </u> / <u>  </u>, filed <u>  </u>, 20<u>  </u>, relied on under 35 USC §120.</p>	